

# DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

## ORAL DELIVERY FORMULATION

the specification of which is attached hereto unless the following is checked:

☒ [X] was filed on April 6, 1998, as United States Application No. 09/055,560.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or section 365(a) of any PCT International application designating at least one country other than the United States listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed:

Prior Foreign PCT International Application(s) and any priority claims under 35 U.S.C. §§119 and 365(a), (b):

(Number)	(Country-if PCT, so indicate)	(DD/MM/YY Filed)	Priority Claimed	
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
(Number)	(Country)	(DD/MM/YY Filed)	<input type="checkbox"/> YES	<input type="checkbox"/> NO
(Number)	(Country)	(DD/MM/YY Filed)	<input type="checkbox"/> YES	<input type="checkbox"/> NO

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

(Application Number)	(filing date)
(Application Number)	(filing date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s), or §365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56

which became available between the filing date of the prior application and the national or PCT International filing date of this application:

U.S. Patent Application entitled Oral Delivery Formulatio, Serial No. unknown, filed December 15, 1997 in the name of E. Ron, B. Compton and M. Kottke, PENDING

U.S. Patent Application entitled Oral Delivery Formulation, Serial No. unknown, filed February 4, 1998 in the name of B. Compton, N. Solari, M. Flannagan, M. Kottke and R. Oleson, PENDING

U.S. Patent Application entitled Oral Delivery Formulation, Serial No. 08/055,163, filed April 4, 1998, PENDING

PCT International Applications designating the United States:

(PCT Appl. No.)	(U.S. Ser. No.)	(PCT filing date)	(status-patented,pending,abandoned)
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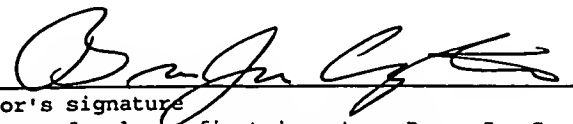
I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

David Wolf	17,528	James H. Morris	34,681	John R. Van Amsterdam	40,212
George L. Greenfield	17,756	Peter C. Lando	34,654	Matthew B. Lowrie	38,228
Stanley Sacks	19,900	Gary S. Engelson	35,128	Michael G. Verga	39,410
Edward F. Perlman	28,105	Peter J. Gordon	35,164	Robert E. Rigby, Jr.	36,904
Lawrence M. Green	29,384	Randy J. Pritzker	35,986	Robert A. Skrivaneck, Jr.	41,316
Steven J. Henry	27,900	Richard F. Giunta	36,149	Robert M. Abrahamsen	40,886
Therese A. Hendricks	30,389	Douglas R. Wolf	36,971	Lesley A. Hamlin	41,054
Edward R. Gates	31,616	Elizabeth R. Plumer	36,637	Mike W. Crosby	40,970
William R. McClellan	29,409	Timothy J. Oyer	36,628	Ivan D. Zitkovsky	37,482
Ronald J. Kransdorf	20,004	John N. Anastasi	37,765	Michele J. Young	P-43,299
M. Lawrence Oliverio	30,915	Helen C. Lockhart	39,248	Edward J. Russavage	P-43,069
James J. Foster	30,052	James M. Hanifin, Jr.	39,213	Alan B. Sherr	P-42,147
Charles E. Pfund	17,030	Christopher S. Schultz	37,929	John C. Gorecki	38,471
Jason M. Honeyman	31,624	Paul D. Sorkin	39,039	William G. Gosz	27,787

Address all telephone calls to Edward R. Gates at telephone no. (617) 720-3500. Address all correspondence to

Edward R. Gates  
c/o Wolf, Greenfield & Sacks, P.C.,  
Federal Reserve Plaza  
600 Atlantic Avenue  
Boston, MA 02210-2211

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

 Ph.D. Oct. 6, 1998  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Full name of sole or first inventor Bruce Jon Compton, Ph.D.  
Citizenship US  
Residence 30 Cottage Street, Lexington, MA 02173  
Post Office Address SAME AS ABOVE

Nancy E Solari

October 6, 1998

Inventor's signature

Date

Full name of sole or second inventor Nancy E. Solari

Citizenship

US

Residence

46 Harding Street, West Newton, MA 02465

Post Office Address

**SAME AS ABOVE**

TELETYPE UNIT

## Attorney's Docket No.N0377/7003

Applicant or Patentee: Bruce Compton, et al.  
Serial or Patent No.: 09/055,560  
Filed or Issued: April 6, 1998  
For: ORAL DELIVERY FORMULATION

**DECLARATION CLAIMING SMALL ENTITY STATUS  
(SMALL BUSINESS CONCERN)**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:—  
☒ an official of the small business concern empowered to act on  
behalf of the concern identified below:

NAME OF CONCERN: AXIA THERAPEUTICS, INC.  
ADDRESS OF CONCERN: 344 Lowell St.  
Lexington, MA 02173

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled ORAL DELIVERY FORMULATION by inventor, Bruce Jon Compton and Nancy E. Solarl described in

- ☐ the specification filed herewith  
☒ application serial no. 09/055,163, filed April 4, 1998.  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the small business concern are not exclusive, each individual concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

- ☒ no such person, concern, or organization

☐ persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME

ADDRESS

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

Peter B. Flinn, Esq.

TITLE OF PERSON IF OTHER THAN OWNER:

ADDRESS OF PERSON SIGNING:

50 Rowes Wharf  
Boston, MA 02210

SIGNATURE

Peter B. Flinn

DATE

10/7/98